

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Scott Fergusson

Serial No.: 09/917,120

Filed: July 27, 2001

For: **METHODS AND SYSTEMS FOR ASSISTING FINANCIAL SERVICES FIRMS
AND THEIR REPRESENTATIVES**



Examiner: Unknown

Group Art Unit: 2161

Docket No.: 1137.1101101

Assistant Commissioner for Patents
Washington, D.C. 20231

COMMUNICATION

CERTIFICATE UNDER 37 C.F.R. 1.10: The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of: EL855119505US, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231 on this 20th day of September, 2001.

By

Jolene Alger

A handwritten signature in cursive script, appearing to read "Jolene Alger".

Dear Sir:

To formalize the above-captioned patent application, please find enclosed a copy of the Notice to File Corrected Application Papers, a Letter to the Official Draftsman, and twenty-eight sheets of formal drawings. Any inquiry regarding this matter may be directed to the undersigned representative.

Respectfully submitted,

Scott Fergusson

By his attorney.

A handwritten signature in cursive script, appearing to read "Brian N. Tufte".

Date: September 20, 2001

Brian N. Tufte, Reg. No. 38,638
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South, Suite 895
Minneapolis, Minnesota 55401-2246
Telephone: (612) 677-9050
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100260-0222660

09-21-01 N Section #3

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TRANSMITTAL SHEET

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

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By

Jolene Alger

We are transmitting herewith the attached:

- [] Amendment
[] No additional fee required
[] The fee has been calculated as shown:

CLAIMS AS AMENDED

	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAININ G CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-			x9=	\$	x18=	\$
INDEPEN- DENT CLAIMS				x39=	\$	X78=	\$
() FIRST MULTIPLE DEPENDENT CLAIM				+130=	\$	+260=	\$
TOTAL				\$		\$	

- [] A check in the amount of \$_____ is enclosed.
- [] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [XX] Other: Communication, copy of the Notice to File Corrected Application Papers, a Letter to the Official Draftsman and twenty-eight sheets of formal drawings
- [XXXX] Please charge any deficiencies or credit any over payment in the enclosed fees to Deposit Account 50-0413.

By: _____

Brian N. Tufte

Reg. No. 38,638

Brian N. Tufte
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South, Suite 895
Minneapolis, MN 55401
(612) 677-9050

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LETTER TO THE OFFICIAL DRAFTSMAN

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By _____

Jolene Alger

Dear Sir:

Please find attached hereto twenty-eight sheets of substitute formal drawings for filing in the above-identified application.

Respectfully submitted,

Scott Fergusson

By his attorney,

Date

September 20, 2001

Brian N. Tufte, Reg. No. 38,638
CROMPTON, SEAGER & TUFTE, LLC
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Minneapolis, MN 55401-2246
(612) 677-9050

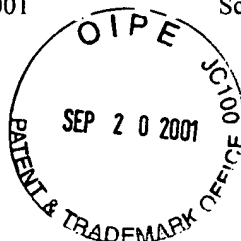


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/917,120	07/27/2001	Scott Fergusson	1137.1101101

Brian N. Tufte
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South, Suite 895
Minneapolis, MN 55401-2246



CONFIRMATION NO. 2233

FORMALITIES LETTER



OC000000006529328

Date Mailed: 09/07/2001

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

FOR 2001-09-07